



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/825,100	04/03/2001	Stephen R. Hanna	SMY 248.01	4446
25181	7590	09/30/2005	EXAMINER	
FOLEY HOAG, LLP PATENT GROUP, WORLD TRADE CENTER WEST 155 SEAPORT BLVD BOSTON, MA 02110			ABRISHAMKAR, KAVEH	
			ART UNIT	PAPER NUMBER
			2131	

DATE MAILED: 09/30/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/825,100

Applicant(s)

HANNA ET AL.

Examiner

Kaveh Abrishamkar

Art Unit

2131

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 11 July 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 2, 4, 5, 7-12, 14, 16 and 18-22 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 2, 4, 5, 7-12, 14, 16 and 18-22 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

AT

### **DETAILED ACTION**

1. This action is in response to the Request for Continued Examination (RCE) received on July 11, 2005. Claims 2,4-5, 6-12, 14,16, and 18-22 are currently being considered:

#### ***Claim Objections***

2. Claims 2, and 14 are objected to because of the following informalities: Claims 2 and 14 are dependent on claims 4 and 16, respectively. This is improper because a claim must be dependent on a preceding claim. Appropriate correction is required.

#### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

3. Claim 7 recites the limitation "said indication" in the second line of the claim.

There is insufficient antecedent basis for this limitation in the claim.

4. Claims 7-11 recite the limitation "said resource." The claims 7-11 all are dependent on claim 6, which is cancelled. Therefore, there is insufficient antecedent basis for this limitation in the claims.

5. Claims 2 and 5 recite the limitation "said providing step." There is insufficient antecedent basis for this limitation in the claim.

#### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

6. Claims 2,4-5, 6-12, 14,16,18-22 rejected under 35 U.S.C. 102(b) as being anticipated by Gasser et al. (U.S. Patent 5,220,604).

Regarding claim 4, Gasser discloses:

A method for evaluating a set of credentials comprising at least one group credential in response to a request to access a resource, comprising:

ascertaining at least one first trust rating within at least one of said credentials within said set of credentials including said group credential, wherein each of said first trust ratings is associated with a level of confidence in information being certified within the respective credential (column 10 lines 7-17, column 10 lines 35-43, column 10 line 66 – column 11 line 44), wherein a set of certificates (credentials) are used to verify if a user is a member of a group by analyzing different groups/subgroups, wherein the trust rating is interpreted as the presence or absence of membership in a group;

in the event said set of credentials forms a plurality of certification paths having at least one credential in each of said paths, determining for each of said plurality of certification paths a third trust rating equal to the lowest trust rating in the credentials of the respective certification path (column 8 line 54 – column 9 line 10, column 10 lines

Art Unit: 2131

50-65), wherein the certifying authorities which are nearby the branches of the directory have a higher trust level;

determining a second trust rating for said set of credentials based, at least in part, upon an analysis of said at least one first trust rating by assigning said second trust rating equal to the highest trust rating of said third trust ratings (column 10 lines 7-17, column 10 lines 35-43, column 10 line 50 – column 11 line 44) wherein the principals' certificates (credentials) are analyzed, and based on the certificate, it is determined if the principals are members of a particular group, and any of the principals containing a valid certificate is granted access which is interpreted as taking the highest trust rating; and

granting access to the resource in the event said second trust rating satisfies predetermined criteria (column 11 lines 1-6).

Claim 2 is rejected as applied above in rejecting claim 4. Furthermore, Gasser discloses:

The method of claim 4 wherein said providing step includes the step of comparing said second trust rating to a predetermined trust rating threshold and wherein said predetermined criteria comprises said predetermined trust rating threshold (column 11 lines 1-36), wherein if a principal has a certificate designating the principal as a member of a group, it is allowed access, otherwise it is not.

Art Unit: 2131

Claim 5 is rejected as applied above in rejecting claim 4. Furthermore, Gasser discloses:

The method of claim 4 wherein said providing step includes the step of comparing said second trust rating to said predetermined criteria (column 11 lines 1-36), wherein if a principal has a certificate designating the principal as a member of a group, it is allowed access, otherwise it is not.

Claim 7 is rejected as applied above in rejecting claim 6. Furthermore, Gasser discloses:

The method of claim 6 further including the step of granting access to said resource in response to said indication (column 11 lines 1-6, column 18 lines 18-23).

Claim 8 is rejected as applied above in rejecting claim 7. Furthermore, Gasser discloses:

The method of claim 7 wherein said resource comprises a file on a file server (column 17 lines 47-67, column 18 lines 18-23), wherein the object/resource can be any request that can be implemented which can include making requests of a file service.

Claim 9 is rejected as applied above in rejecting claim 7. Furthermore, Gasser discloses:

The method of claim 7 wherein said resource comprises a web page (column 17 lines 47-67, column 18 lines 18-23), wherein the object/resource can be any request that can be implemented using an access list, which is known to include web pages.

Claim 10 is rejected as applied above in rejecting claim 7. Furthermore, Gasser discloses:

The method of claim 7 wherein said resource comprises a secure area (column 17 lines 47-67, column 18 lines 18-23), wherein the object/resource can be any request that can be implemented using an access list.

Claim 11 is rejected as applied above in rejecting claim 7. Furthermore, Gasser discloses:

The method of claim 7 wherein said resource comprises a database (column 17 lines 47-67, column 18 lines 18-23), wherein the object/resource can be any request that can be implemented which can include a database.

Claim 12 is rejected as applied above in rejecting claim 4. Furthermore, Gasser discloses:

The method of claim 4 wherein said ascertaining step further includes the step of obtaining an identity credential trust rating associated with an identity credential within said credential path (column 10 lines 7-17, column 10 lines 35-43, column 10 line 66 – column 11 line 44), wherein a set of certificates (credentials) are used to verify if a user

Art Unit: 2131

is a member of a group by analyzing different groups/subgroups to determine their identity and membership in a particular group.

7. Claims 14 and 16 are system claims analogous to the method claims 2,4-5, 7-12 rejected above, and therefore, are rejected following the same reasoning.

8. Claim 18 is a computer program product claim analogous to the method claims 2,4-5, and 7-12 rejected above, and therefore, is rejected following the same reasoning.

9. Claim 19 is a computer data signal embodied in a carrier wave (see 101 rejection) analogous to the method claims 2,4-5, and 7-12 rejected above, and therefore, is rejected following the same reasoning.

10. Claim 20 is a system claim analogous to the method claims 2,4-5, and 7-12 rejected above, and therefore, is rejected following the same reasoning.

11. Claims 21-22 are method claims analogous to the method claims 2,4-5 and 7-12 rejected above, and therefore, is rejected following the same reasoning.

### ***Conclusion***



Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kaveh Abrishamkar whose telephone number is 703-305-8892. The examiner can normally be reached on Monday thru Friday 8-5.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on 703-305-9648. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

KA  
09/26/2005

Cil  
Primary Examiner  
AU 2131  
9/27/05